

*Extra Release  
of Info W/167*

ODP-2473-76

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MEMORANDUM FOR: [REDACTED]  
Chief, Information and Privacy Staff  
FROM : [REDACTED]  
Director of Data Processing  
SUBJECT : Feasibility Study of a Central Index of  
Intelligence Information Released to the Public

1. In response to [REDACTED] memorandum of 23 August 1976, STAT  
I am submitting to you the requested feasibility study. It is my  
understanding that this paper, prepared by [REDACTED] of STAT  
this office, is a product of the working group that you have chaired.  
I am most appreciative of the time and effort your staff has provided  
in support of the preparation of this paper.

STAT  
2. Comments or questions concerning the study can be answered  
by [REDACTED] of B Division, ODP [REDACTED] STAT

Attachment: a/s

FEASIBILITY STUDY  
OF A  
CENTRAL INDEX  
OF INTELLIGENCE INFORMATION  
RELEASED TO THE PUBLIC

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# I. INTRODUCTION

In Reference 1 (attached), [ ] requested that a feasibility study be made for a central index for intelligence information released to the public. The index would serve the Information and Privacy Staff (IPS). In particular, the index would:

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- Assist the Information and Privacy Staff and director FOI offices in identifying and retrieving previously released documents when responding to new FOI requests.
- Enable a damage assessment on the impact of the laws through the use of a cross referenced compilation of information.
- Assist the Office of Legislative Counsel and Assistant to the DCI when responding to requests for Agency information.
- Provide a list of released documents upon request.

During discussions with [ ] other IPS personnel, representatives from the Office of Security, Information Systems and Analysis Staff, Office of Technical Services, and [ ] [ ] from the Central Reference Service (CRS) as to the scope and nature of the index, it became apparent that manpower resources to maintain the index is a crucial IPS consideration. Questions as to what documents the index should contain, who would do the indexing, and associated legal responsibilities were also discussed. There was even a suggestion that the indexing of the data and maintenance of an indexed data base be contracted out. Substantive discussions, however, finally focused on the fact that IPS was really at the

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center of activities, the index would be essentially theirs, and  
the responsibility of a systems manager and input work would fall  
entirely upon IPS. Consequently, IPS prepared a memorandum  
(reference 2 - attached) outlining the nature of the records to be  
included in the Automated Index Data Base as well as those to be  
excluded.

Presently, IPS has been building an indexed data base using  
DECAL, which is on the AEGIS System maintained by CRS. DECAL was  
developed by the CRS Systems Analysis Staff (SAS/CRS) when IPS  
determined that an index of documents released to the public was  
needed. However, at the initiation of this feasibility study, IPS  
and CRS questioned DECAL as a suitable system to meet the needs of  
an expanded index. \*

## II. PROBLEM DEFINITION

### General

Under E.O. 11652, the Privacy Act of 1974, or FOIA, IPS must respond quickly to requests for information. If the information is classified, the responsible Agency component must determine what, if any, information is releasable. IPS forwards the information to the requester or otherwise informs the requester of the Agency's disposition of the request.

Often, IPS gets repeated requests for information which has been previously declassified or sanitized. When this happens, it is important that IPS provide the second requester with at least as much information as they provided the first requester. Therefore, the indexing system must be capable of determining what information has already been provided requesters on subjects, countries, and various other topics or keywords and phrases. Furthermore, the information, of necessity, must be cross referenced to assure that related requests receive consistent responses.

In addition, IPS needs to supply other Agency components with listings of documents which have been sanitized or declassified. Other listings, sorted in various ways, will be needed for Agency components such as the Office of Legislative Counsel to facilitate their handling of possible litigations.

The determination of what documents will be included in the system and how they will be indexed will be made by IPS. Presently, IPS estimates that about 2000 documents/year will qualify for inclusion in the data base. That is about eight documents/day and could

be input easily and maintained by the IPS staff with a single computer terminal. IPS has found that hard copy listings sorted first by country, then by subject, and finally by keyword, which they have obtained using DECAL, will be sufficient to determine who, what, and when for their day-to-day activities. With only about eight records being added each day, new listings about once a month but not more than twice a month should be sufficient to maintain current and timely information. Periodically, requests might require an updated listing or query, but the nature of the hardcopy sorts makes it difficult to see how a record or group or records could not be found quickly. So far, this has been the experience of IPS; only a few on-line queries have been necessary in the past year using DECAL. In summary, no significant requirement for on-line query capability has been demonstrated. However, IPS is uncertain of possible future needs, and believes an on-line query capability would be a desirable option.

IPS does not believe that it will be necessary to keep track of most documents indefinitely, but a precise time for deleting records has not been determined. In any event, a maintenance program capable of automatically deleting document records after a certain date, unless exempted, is highly desirable. This would reduce the future IPS office workload considerably.

#### Specific Requirements

In terms of information content the following data items will be required for an effective automated index. New data field requirements asterisked are those not presently in DECAL.

- DOCUMENT NUMBER**  
(25 to 34 bytes)
- Document number is divided into three sub-fields: organization (3 bytes), office component (7 bytes), and original document number (minimum of 15 bytes with a maximum of 24 bytes desired). Many items such as memoranda, letters, etc. do not have an old document number. It is suggested that IPS develop a systematic and uniform procedure for tagging these items. Memoranda and letters could be tagged as - MEMO/Authors initial/Date, LETR/Authors initials/Date.
- \* RELEASED AS**  
(3 bytes)
- The "released as" field records whether the document has been sanitized or declassified. Since there may be several sanitized versions of the same document, this field is multi-valued (or periodic).
- \* DOCLOC**  
(7 bytes)
- DOCLOC is the document location (organization/office).
- \* PAGES**  
(3 bytes)
- Pages is the physical number of pages sent to a requester. This information is used as a measure of quantity and cost.
- \* PUBLICATION DATE**  
(6 bytes)
- Publication date is the date the document was published (YRMODA).
- \* DOWNGRADE DATE**  
(6 bytes)
- Downgrade date is the date the document was downgraded (YRMODA).



- \* AUTHORITY  
(6 bytes)

- Authority is the employee number of the Agency employee who downgraded the document.
- \* OLD CLASSIFICATION  
(1 byte)

- Old classification is self-explanatory. No reference to codeword will be indicated.
- TITLE  
(40 bytes/line)

- Title is the title of the document and may be a multi-valued (periodic) or variable length field.
- KEYWORDS  
(25 bytes)

- Keywords is a very important multi-valued (or periodic) field. Keywords, or phrases treated as a word, describe in a very succinct terms the contents of the document, over and above information contained in the title and other fields. For example, BAY\_OF\_PIGS, CASTRO, and INVASION might be considered keywords in describing a document on the Bay of Pigs invasion. IPS believes a maximum of ten separate keywords are needed to describe each document.
- \* REQUESTER  
(14 bytes)

- The requester field contains the name of the first individual requesting the document.
- \* REQUESTER NUMBER  
(8 bytes)

- Requester number is an IPS log number assigned to a request when received. The request number is the record ID of an automated log now under development for IPS.

- SUBJECT CODE**  
(6 bytes)

  - The Subject Code field contains the subject or subjects discussed in the document, i.e. Military Aid, Politics, etc. The subject code field is a multi-valued field (or periodic).
- AREA CODE**  
(3 bytes)

  - There are two area code fields associated with each subject. These fields contain area or country names. For example, Military Aid, China, Korea would be a subject-area field combination implying military aid from China to Korea.
- \* INPUT DATE**  
(5 or 6 bytes)

  - A field used for maintaining the data base. This is the date a record is input into the system.

Two conversion tables will be associated with the above data. One table will be needed to convert approximately 300 subject codes into English equivalents. A second table will likewise be needed to convert approximately 200 country codes.

In terms of volume, it is estimated that the data base will stabilize in the neighborhood of 10,000 records. With an average of 475 characters (bytes) per record, the total volume will be about 4.75 million bytes.

In addition, nine separate report programs will be needed to produce listings. Included in these programs will be sorts by country, country/subject, country/subject/keyword, keyword, keyword/country, downgrade date, and requester.

### III. PROBLEM/SOLUTIONS

#### DECAL/AEGIS

As indicated in the introduction, DECAL was developed by CRS for IPS because it offered a quick solution to their problems. However, on examination of the requirements, DECAL continues to satisfy most and exceeds some IPS requirements. In terms of data content, there are three fields of information, the number of pages in a document, input date, and the document location, that have not already been included in the DECAL data base. Additionally, IPS would like to increase the length of the old document number field. This, however, is not a strong requirement by IPS because they have already developed a systematic way of cutting down extremely long document numbers to conform with the 15 characters allowed in DECAL. The problem has been that at the time DECAL was developed, separate fields were not used for publication date, downgrade date, old classification, authority, requester, requester number, and released data field. Since this information is very important for each document, IPS is inputting the data as keywords. Consequently, only four more keywords could be input through the initial input form. Presently, however, even this limitation can be overcome, although not easily, because a virtually unlimited number of keywords can be input into a record on a subsequent Batch maintenance job.

Another current DECAL drawback, however, is the limited number of subject codes which are converted on output into English equivalents. Presently, subject codes are only broken down into

seven major subjects on output, i.e. Politics, Armed Forces, etc.

While IPS would like a complete breakdown of these codes into approximately 300 specific subjects, they have indicated that this is not a strong requirement. In fact, IPS has shown flexibility with respect to the detailed subject code requirement and has indicated that they would be satisfied with having the capability of printing and sorting the data under detailed subject code headers rather than the English equivalents if the latter alternative presents any great programming problems. Clearly, however, the latter would be more desirable.

Finally, IPS has had a terminal access problem. Presently, IPS personnel have to go downstairs and use a CRS terminal, if available, and this has created some inconvenience.

DECAL represents many advantages, with the most notable - the system already exists and it works. In addition, DECAL already offers IPS on-line query capability, which exceeds their real requirements.

In stating the type of output IPS personnel wanted from a new system, no substantial deviations in data content from what they are presently getting were requested. Another important consideration is training.

STAT  of IPS already has a high exposure to DECAL and knows how to make queries using DECAL with minimum SAS/CRS assistance.

One solution then, for an IPS indexing system, is to modify DECAL. This can be handled by using other fields in DECAL/AEGIS to store the six mandatory data elements presently being input as keywords.

IPS would then be able to input up to ten additional keywords per record on the initial input form. In addition, the number of pages, document location, and input date could likewise be added to the DECAL data base.

There are several ways the above modification of DECAL could be made. One possibility would be to include the additional fields into an unused AEGIS periodic set. Some of the data such as pages, document location, and input date might be stored in unused fixed fields. The output tables used to convert subjects could be increased. What is important to note is that DECAL could be satisfactorily modified to handle the data.

In essence, the above considerations would require the following modifications to the DECAL system.

- Alter the on-line form to include the number of pages, document locations, and the mandatory data presently being input as keywords.
- Make available report programs which reflect the new data fields.
- Make available expandable subject codes.

In addition, ODP will need to connect the DECAL System via the COMTEN 2 or 3 to the Delta Data terminal which IPS is scheduled to receive. Further, IPS personnel would have to add data to the present 550 records in DECAL to provide the additional mandatory data which would be required for a modified DECAL system.

In deference to CRS, whose staff is the most knowledgeable of DECAL/AEGIS, precise cost figures for modifying DECAL will not be made; however, a similar situation to modify an application in ODP

on the GIMS system would cost about \$3800. This estimate would include five manweeks for additional analysis and programming. Computer cost would be about \$400. The actual cost for CRS could be more or less depending on the peculiarities of AEGIS.

#### GIMS

A second option would be to develop an entirely new application using GIMS.

A GIMS system would have the following capabilities:

- ° On-line input and query capability.
- ° Hardcopy of on-line queries would be obtainable on IPS's TI printer or through routing to DAC.
- ° Hard Copy Reports and listings would be made available.

The application would be essentially the same as the modified DECAL system.

Resources required would be as follows:

1 GIMS programmer	<u>23 manweeks</u>
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At \$17/hr, total manpower cost would be:

$17 \times 40 \times 23 = \$15,640$

Computer cost is estimated to be \$2000. Total cost for the GIMS System would be \$17,640. The above manpower estimates includes two ODP manweeks for user training. IPS, of course, would have to designate someone on their staff for this training.

### Contracts

Consideration was given to the possibility of contracting both the software development and the indexing function. The current requirements, however, do not warrant such a contract. Eight documents per day to index is something less than a full-time job, and a contract to perform the indexing would probably take just as much in-house effort when all factors such as contract monitoring, day-to-day coordination, etc. are considered. A contract to develop the software would seem to be likewise misplaced. IPS already has with DECAL a basic software system which meets major requirements. With modification, DECAL could become an acceptable system. But even if a new GIMS system were built, an external contract would seem inappropriate since the effort is not large and the needed resources can be made available in ODP.

**IV. RECOMMENDATION**

It is recommended that IPS stay with the DECAL/AEGIS system and submit a request to CRS to implement the necessary changes.



**FOIPA newsletter**

available on the amount of overtime paid, but we assume that this would be offset by uncompensated overtime included in the manpower figures.

**IPS Goes Automated**

For some time now, the IPS has maintained an ADP index of CIA documents of general interest which have been released to the public in declassified or sanitized form. This file, known as DECL, is a part of the OCR SAFE (System for Analysts' File Environment) project and currently contains approximately 2,500 records. Initially, input was limited to CIA documents released as a result of mandatory classification review requests. During 1977, however, the coverage was expanded to include certain FOIA releases. Material released in response to PA requests, because of privacy issues, is only rarely indexed into the data base.

The information in DECL can be retrieved by document number, requester name, country or subject code, title, date of publication, sanitized or declassified, keyword, or any combination thereof. OCR programmers are currently revising the record format, providing separate fields for some data elements which must now be controlled as keywords and making other changes designed to enhance the system's retrieval and reporting capabilities.

Some of the requests we receive are for copies of declassified information previously released on a particular subject. By resort to DECL, it is possible to answer such requests without tasking other Agency components. Lookups are also done when there is reason to believe that a document involved in a mandatory review request was treated in an earlier request. This is important if we are to avoid denying a requester information which is already in the public domain.

Eventually, we hope to be able to prepare lists of declassified CIA records, sorted by series, which could be sent to all holders of such records in order that the copies of the records in their files can be marked to reflect their unclassified status. Under Executive Order 11652, Federal agencies are to do this to the extent practicable.

The Staff also implemented an automated logging system this year. The new system was operated in parallel with the manual logging system for several months, and became fully operational in mid-October, at which time the manual log was discontinued.

More manpower is required to maintain the ADP request log than was needed for maintenance of our former manual log, but the new system offers many advantages to compensate for this one disadvantage. We can, for example, produce lists of cases, sorted by CIA action component if desired, on which responses are long overdue. We can use the system as an aid to identifying cases where the requester has failed to answer our letter within 90 days, under which circumstances the requests would be canceled. We can obtain data on the

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DIRECTOR OF CENTRAL INTELLIGENCE DETERMINATION

ASPECTS OF INTELLIGENCE SOURCES AND METHODS  
THAT MUST BE PROTECTED FROM UNAUTHORIZED DISCLOSURE

1. By virtue of the authorities vested in me as Director of Central Intelligence, pursuant to Section 102(d) (3) of the National Security Act of 1947, as amended, and Section 6 of the Central Intelligence Act of 1949, as amended, by virtue of the authorities delegated to me by the National Security Council, pursuant to the authorities of Section 102(d) of the National Security Act of 1947, as amended, and by virtue of the authorities vested in me as head of an agency of the United States Government, I do hereby determine that the attached list entitled "Aspects of Intelligence Sources and Methods of the Central Intelligence Agency that Require Protection from Unauthorized Disclosure" constitutes the aspects of intelligence sources and methods of the Central Intelligence Agency which must be protected from unauthorized disclosure.

2. If any aspect contained in said list is held invalid, all valid aspects that are severable from the invalid aspect remain in effect. If an aspect is held invalid in one or more of its applications, the aspect remains in effect in all valid applications that are severable from the invalid application or applications.

3. All documents originated within the Central Intelligence Agency which contain any information described in the aspects of intelligence sources and methods as enumerated in said list or which will be subsequently authorized by me for addition to said list will be marked with a warning to indicate same.

4. For matters other than those related to the Freedom of Information Act and Executive Order 11652, I hereby delegate to the Deputy Directors for Administration, Intelligence, Operations and Science and Technology, Inspector General, General Counsel, Legislative Counsel and Comptroller the authority to authorize disclosure of any aspect or part thereof contained

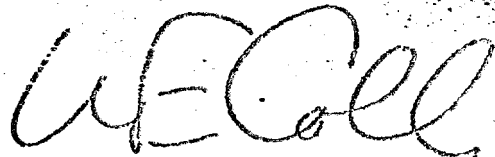
in said list that is within their substantive areas of responsibility where such disclosure will not damage or put in jeopardy Agency employees, agents, informants, activities, operations or interests. This delegation may be redelegated to the immediate subordinates of these Deputy Directors and Heads of Independent Offices. Nothing in this delegation is meant to conflict with my delegation of 6 February 1975 with respect to the Freedom of Information Act or Executive Order 11652.

5. Information relating to any Agency activity or operation which violates a U.S. statute, Executive order or Presidential order or is without authority of law cannot be withheld irrespective of any otherwise apparent coverage that might be afforded by any aspect contained in said list.

6. Procedures necessary to implement this determination will be promulgated, pursuant to the authority contained herein, as a regulation of the Central Intelligence Agency. I hereby authorize and direct the Deputy Director for Administration to approve and implement such regulation. I hereby assign the responsibility to the Deputy Director for Administration to periodically review said list to develop any new aspects or to delete aspects no longer necessary. The results of said review as well as any aspects identified requiring my immediate attention will be forwarded to me for approval.

12 JAN 1976

Date



Director of Central Intelligence

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SA/DSS

A STUDY ON DECLASSIFICATION

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CRS  
1 June 1976

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## A STUDY ON DECLASSIFICATION

### 1 INTRODUCTION

- 1.1 This study has been undertaken to determine CIA compliance with the legal requirements of declassification; to identify requirements where CIA has either not assigned declassification responsibility or the responsibility has not been implemented; to propose general procedures for declassification functions which have not been chartered; and to supply estimates of the resources necessary to implement such proposals.
- 1.2 Through review of the legal documents on declassification and examination of CIA's implementing procedures, specific declassification requirements have been outlined, the declassification responsibilities assigned to CIA components have been evaluated, and the declassification obligations for which CIA has no implementing procedures have been summarized.
- 1.3 The study assumes that CIA will fully implement the intent of declassification and that all material classified by CIA is subject to declassification. For purposes of this study also, the term "classified material" not only applies to substantive intelligence reports and other written information, e.g., memoranda, personnel records, security records, and financial and logistical records, but also to physical material developed and produced by CIA in connection with the performance of its official duties.
- 1.4 In order to outline the legal declassification requirements, the following documents were reviewed: Executive Order (EO) 11652; the National Security Council Implementing Directive for EO 11652, dated 17 May 1972; Executive Orders 11905, 10501, and 10964; the Freedom of Information Act (FOIA) as amended in 1974; Privacy Act of 1974; and the Inter-Agency Classification Review Committee (ICRC) Instructions on Implementation of the Data Index. To determine CIA's implementation of EO 11652, FOIA and the Privacy Act,

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Headquarters Regulation [ ] and its Annex were examined. In addition, the CIA office missions for those components charged with implementing some aspects of declassification as well as other pertinent CIA notices and regulations have also been reviewed. (See Bibliography)

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## 2 DECLASSIFICATION REQUIREMENTS

### 2.1 EO 11652

- 2.1.1 The specific legal requirements for declassification as outlined in EO 11652 are categorized here to reflect the authority, review, notification, marking, accountability, and management responsibilities assigned to CIA.

### 2.2 AUTHORITY

The designated authorities for declassifying CIA material are:

- a. The official authorizing original classification
- b. A successor in capacity
- c. A supervisory official of either
- d. An official specifically authorized by a regulation issued by the DCI

Authorizing officials can declassify:

- a. CIA classified information and material
- b. Classified information and material officially transferred with a transfer of function to CIA
- c. Classified information and material not originated by CIA but in CIA's possession, upon consultation with all other departments having an interest in the subject matter

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Restricted Data and Formerly Restricted Data will be declassified in accordance with the Atomic Energy Act of 1954 and AEC regulations.

2.3 REVIEW

2.3.1 Declassification is to occur as soon as there are no longer any grounds for continued classification. To ensure declassification action, provision is made for a systematic, a mandatory and a 30 year review.

2.3.2 GENERAL DECLASSIFICATION SCHEDULE (GDS)

Classified information originated after 1 June 1972 and not exempted from automatic declassification will be declassified and downgraded according to a specified General Declassification Schedule. Automatic declassification of this material will take place as follows:

Top Secret to Secret in 2 years  
to Confidential in 4 years  
to Unclassified in 10 years

Secret to Confidential in 2 years  
to Unclassified in 8 years

Confidential to Unclassified in 6 years

Documents classified prior to June 1972 are subject to the automatic declassification requirements and downgrading cited in the GDS if the material was known as the Group 4 Category.

Specified under EO 10501, 5 November 1953, amended by EO 10964, 20 September 1961, Group 4 refers to material which does not require special handling; which was not originated by a group or organization over which the U.S. Government has no jurisdiction; which was not provided for by special statute such as the Atomic Energy Act; which does not warrant a degree of classification for an unspecified period; and which is not extremely sensitive.

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Group 4 material under the old Executive Orders was automatically downgraded at three year intervals, until the lowest classification was reached, and automatically declassified twelve years after the date of issuance. EO 11652 specifies that Group 4 material will be declassified or downgraded according to the GDS.

### 2.3.3 EXEMPTIONS FROM GDS

The categories for material originated after 1 June 1972 and exempt from the GDS are:

- a. Information or material furnished by a foreign government on the understanding that it be held in confidence (5B1)
- b. Information or material specifically covered by statute or pertaining to cryptography or disclosing intelligence sources and methods (5B2)
- c. Information disclosing a system, plan, installation and project or foreign relations matters which needs continued protection for national security (5B3)
- d. Information which, if disclosed, would place a person in immediate jeopardy (5B4)

Material with Restricted Data or Formerly Restricted Data caveats are exempt from the GDS.

### 2.3.4 MANDATORY REVIEW

2.3.4.1 The mandatory review requirement applies to:

- a. Material originated after 1 June 1972, exempted from the GDS and over 10 years old
- b. Material originated prior to 1 June 1972, not assigned to Group 4 under EO 10501 as amended by EO 10964, and over 10 years old

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All of the above material will be subject to review when:

- a. The request is from a member of the public or from a government department
- b. The request describes the record with sufficient particularity to enable CIA to identify it
- c. The record is obtainable with only a reasonable effort

2.3.4.2 Material which no longer warrants exemption will be declassified and made promptly available to the requester unless exempt from disclosure under the Freedom of Information Act or other provisions of law.

2.3.5 30 YEAR REVIEW

The 30 year review requirement specifies that:

- a. All information classified after 1 June 1972 becomes automatically declassified at the end of 30 full calendar years provided the DCI does not specify in writing to continue the classification. The DCI must also specify the reason for continued classification and the date on which the material will become automatically declassified.
- b. All information classified prior to 1 June 1972 and more than 30 years old will be systematically reviewed for declassification by the Archivist of the United States by the end of the 30th full calendar year following the year in which originated. Such information does not become automatically declassified. The DCI will assign personnel to assist the Archivist in identifying and segregating CIA information deemed to require continued classification and preparing a list of such material for the DCI.

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#### 2.3.6 SYSTEMATIC REVIEW

Systematic review of CIA material classified after 1 June 1972 and considered to be of historical or other value to warrant preservation must be made on a timely basis. Annually, CIA will segregate to the maximum extent possible all material warranting preservation and becoming declassified at or prior to the end of the calendar year. The material is to be declassified and made available to the public when there are no grounds for continued classification.

#### 2.3.7 FREEDOM OF INFORMATION ACT

Under the Act, CIA will receive requests from the general public for Agency material. CIA must provide the material no matter how recent or old it may be if it is reasonably described by the requester and does not fall within one or more of the nine specified categories of exempted information. Upon receipt of a request, CIA must locate the information, review it in light of the FOIA exemptions and determine which records, or portions of records, may be made available to the requester and which are to be withheld. All this must be done within the deadlines specified in the law. If the requester is denied anything he asks for initially, he may appeal to the CIA Information Review Committee. If he fails to get what he requested from the Agency, he may file a suit to force CIA to comply with his request. If he sues, the courts can order the Agency to release denied documents or records by deciding they were either not properly classified or that they did not fall within any of the exemptions.

#### 2.3.8 PRIVACY ACT

The Privacy Act of 1974, like EO 11652 and the FOIA, requires that CIA make information available to the public and to individuals upon request. Any member of the public, whether an American citizen or not, may request mandatory classification reviews under EO 11652 and under the amended Freedom of Information Act. Requests under the Privacy Act are limited to American citizens and aliens lawfully

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admitted to the United States for permanent residence. CIA or its officials can be penalized under the law for arbitrarily or capriciously denying information which should be released. As with EO 11652 and FOIA, CIA under the Privacy Act must locate and review records and determine whether they shall be declassified and made available or denied to the requester. There is also an appeal mechanism.

2.3.9 BURDEN OF PROOF

In any classification review action which results in continued classification, the burden of proof is on CIA to show that continued classification is warranted.

2.4 NOTIFICATION

The requirement for notification under EO 11652 specifies that all addressees to whom the material was originally transmitted must be promptly notified, to the extent practical, when material is declassified or downgraded in a manner other than originally specified. There are no requirements relating to the means by which such notification should take place.

2.5 MARKING

2.5.1 The marking requirement specifies that whenever a change is made in the original classification or dates of downgrading or declassification, such material must be promptly and conspicuously marked to reflect:

- a. The change in classification or dates
- b. The authorizing official
- c. The date of the declassification action
- d. The identity of the person authorizing the action

2.5.2 All earlier classification markings must be changed, if practical, but in any case the first page must cite the new classification. If the marking of the actual material is not possible

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without interfering with operations, the storage unit may be marked in lieu of the material. The material must be appropriately marked when it is withdrawn from the storage unit.

2.6 ACCOUNTABILITY

- 2.6.1 Accountability requirements for declassification include the maintenance of a Classification Authority List and a Data Index System for selected classified material considered to be of sufficient historical or other value to warrant preservation. In addition, periodic implementation reports for information included in the Data Index are required by the ICRC.

2.6.2 CLASSIFICATION AUTHORITY LIST

The Classification Authority List requirement became effective on 1 July 1972. The List is updated on a quarterly basis. It includes the identity of:

- a. The officials having Top Secret classification authority
- b. The officials having Secret classification authority
- c. The officials having Confidential classification authority

The requirement for a Classifier's List relates to declassification in that persons with the authority to classify information and material also have the authority to declassify it.

2.6.3 DATA INDEX

The Data Index System requirement specifies that classified information in selected categories approved by the ICRC as having historical or other value to warrant preservation be indexed. The index must contain the following data for each document indexed:

- a. Identity of classifier

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- b. Department of origin
- c. Title or description of document
- d. Addressees
- e. Date of classification
- f. Subject/area
- \*g. Classification category and whether subject to or exempt from the GDS
- \*h. If exempt, exemption category applicable
- \*i. Date or event set for declassification
- j. File designation (optional)

The data elements which relate to declassification are asterisked.

#### 2.6.4 REPORTS

CIA is required to supply the following periodic implementation reports to the ICRC:

- a. The Annual Review List, due by 1 April each year, includes all classified documents indexed in the Data Index System if (1) they are exempt and over 10 years old or (2) indicate an event for declassification
- b. The Annual Declassification List, due on 1 September, contains references to (1) documents which became declassified during the previous calendar year and (2) documents listed in the Annual Review List which have been declassified in the year covered by the list
- c. Other reports upon specific request by the ICRC

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## 2.7 MANAGEMENT

To implement and manage declassification responsibilities the CIA is required to:

- a. Assign a representative to the ICRC
- b. Send to ICRC for approval a copy of the CIA regulations implementing EO 11652
- c. Establish a CIA committee to review classification/declassification actions and act on suggestions and complaints
- d. Designate a senior CIA official to monitor implementation and chair the CIA Information Review Committee
- e. Ensure adequate personnel and funding
- f. Undertake an initial program to familiarize employees with declassification requirements and responsibilities and establish and maintain training and orientation programs

## 3 CIA DECLASSIFICATION IMPLEMENTATION PROGRAMS

3.1 CIA has established implementation procedures to carry out the provisions of the Freedom of Information Act (FOIA), the Privacy Act, and most of the requirements of EO 11652. Action requirements relating to declassification are explicit in EO 11652 and in CIA's implementing procedures. Declassification as a result of FOIA or Privacy Act requests is not specifically addressed in the CIA implementing procedures for the two Acts.

### 3.1.1 FOIA AND DECLASSIFICATION

CIA implementation procedures relating to requests for information under FOIA are outlined in Headquarters [redacted] While the HN does not precisely spell it out, when requests which are processed under FOIA result in some type of declassification action,

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including sanitization, the declassified material, of itself, becomes subject to the declassification provisions of EO 11652. In particular, the requirements for mandatory review of requested information, notification, marking, and inclusion of references about such actions in reports to the Interagency Classification Review Committee (ICRC) apply to all classified material which is declassified and released under FOIA either directly or as a result of appeals. While efforts are being made to meet the declassification requirements inherent in FOIA review and release actions, it is not clear the extent to which notification about those efforts has been carried out up to now.

### 3.1.2 THE PRIVACY ACT AND DECLASSIFICATION

STAT  specifies the CIA implementation procedures for Privacy Act requests to the Agency. As with FOIA, there are no specific delegated responsibilities in  which relate to what is to be done with material which is declassified as a result of Privacy Act requests. Nevertheless, all material declassified after review or appeals under the provisions of the Privacy Act is subject to the declassification requirements of EO 11652. As with FOIA, it is assumed that some efforts are currently made to notify holders of declassified Privacy Act material to enable them to mark the records and to provide information about the declassification actions to the ICRC. The extent of such efforts is unknown. STAT

### 3.1.3 IMPLEMENTATION OF EXECUTIVE ORDER 11652 DECLASSIFICATION PROVISIONS

#### 3.1.3.1 What Has Been Chartered

STAT 3.1.3.2 The CIA declassification procedures for implementation of EO 11652 are outlined in Headquarters  and its Annex. Additional Headquarters Regulations and Notices, cited in the Bibliography, assign specific declassification responsibilities to CIA officials, directorates and staffs.

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3.1.3.3 The authority and review portions of the declassification program required under EO 11652 are assigned to the DCI and his Deputy Directors. The accountability and management responsibilities for the CIA declassification program are, for the most part, placed within the DDA. Other CIA offices and directorates share some of these responsibilities as does the CIA Information Review Committee.

3.1.4 CIA IMPLEMENTING AUTHORITIES UNDER PROVISIONS OF EO 11652

The CIA officials or offices responsible for implementing the EO 11652 declassification provisions are:

- a. The DCI--general review and management responsibilities [ ] STAT
- b. The Deputy Directors--general review and management responsibilities [ ] STAT
- c. The DDA--designated as the CIA official responsible for acting to ensure compliance with the provisions of EO 11652 [ ]. STAT  
The DDA responsibilities include:
  - 1. The institution and operation of a program to familiarize all CIA employees with the provisions of EO 11652 and its NSC Implementing Directive.
  - 2. The creation and operation of active training and orientation programs for employees concerned with classified material. The training requirement also specifies the implementation of a program to brief new employees on their declassification responsibilities as well as periodic reorientation programs for all employees as reminders to comply with the provisions of the declassification orders and regulations.

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- d. Information Systems Analysis Staff (ISAS, DDA)--responsible for developing and monitoring programs and operating procedures to ensure CIA implementation of the provisions of EO 11652. The Chief, ISAS is the CIA Declassification Officer [redacted] STAT
- e. Information and Privacy Staff (IPS, DDA)--responsible for the administration of the amended Freedom of Information Act (FOIA) and the Privacy Act. These responsibilities include the maintenance of the Agency's centralized records on declassification [redacted] STAT
- f. Central Reference Service (CRS, DDI)--responsible for establishing and maintaining the Data Index System; recommending modifications and improvements for the Data Index to the DDA; for advising him of progress at least annually; and preparing any reports requested by the ICRC on the progress and operation of the Data Index System [redacted] STAT
- g. CIA Information Review Committee--responsible for reviewing appeals relating to requests for information under EO 11652, as well as under the Freedom of Information Act (FOIA) or the Privacy Act. Some of the reviews result in declassification actions. The Committee is comprised of the DDI, DDA, DDO, DDS&T, the Deputy to the DCI for the Intelligence Community and the Deputy to the DCI for NIOS [redacted] STAT
- h. Office of Security (OS)--responsible for devising and monitoring CIA Top Secret Control policies [redacted] STAT

3.2 CIA PROGRESS IN MEETING CHARTERED RESPONSIBILITIES

3.2.1 Assigned Action

[redacted] as well as other CIA regulations and notices assigns declassification responsibilities

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relating to the authority, review, accountability and management aspects of EO 11652. Provisions have been made to meet the following requirements:

- a. The establishment of a CIA Review Committee
- b. The identification of Agency officers responsible for declassification
- c. The development of Classification Authority Lists
- d. The establishment and maintenance of a Data Index
- e. Systematic, mandatory, and thirty year review
- f. Marking declassified, downgraded, and sanitized material
- g. The development and operation of training programs relating to CIA declassification responsibilities and procedures
- h. The assignment of personnel to assist Archivists in making decisions about declassifying material over 30 years old
- i. The preparation of periodic reports to the ICRC on declassification progress

### 3.2.2 Positive Implementation Action

The following declassification responsibilities currently have action programs within CIA:

- a. The Data Index has been created and meets all specified requirements
- b. Agency-wide Classification Authority Lists have been developed
- c. The Annual Review List and the Annual Declassification List have been prepared and forwarded to the ICRC within designated time frames.

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- d. Personnel have been assigned to assist Archivists in making decisions about the declassification or downgrading of material over 30 years old
- e. The CIA Information Review Committee, which has as one of its responsibilities the review of appeals for declassification and downgrading after material requested has been initially denied, has been created. The Committee meets on a scheduled basis and considers appeals relating to requests received under EO 11652 as well as under the FOIA and Privacy Acts

### 3.2.3 Limited or Unknown Implementation Action

Listed below are the EO 11652 declassification responsibilities for which implementation guidance has been provided in [ ] but about which either STAT limited action has occurred or little information is known:

- a. Review Responsibilities--There are specified legal requirements for systematic, mandatory and thirty year review of classified material. If systematic review of classified material is occurring in CIA offices, little is known about it. Mandatory review under the provisions by EO 11652 (effective 1 June 1972) is not a significant issue now and will not become one until June 1982 for material classified after the effective date of the order. Material originated prior to 1 June 1972 is subject to the mandatory review provisions of EO 11652 only if it was not assigned to the Group 4 category (see para. 2.3.4.1. b. above) and is over 10 years old. The thirty year requirement has not been a significant issue up to now but will become one in CY 1977 when CIA becomes 30 years old
- b. Marking Declassified Material--[ ] STAT clearly outlines the requirements for marking declassified material. While some marking may now occur it is not at all clear the extent to which the requirements for marking are being met Agency-wide. There is also no clear guidance in any regulation on declassification about what, if any, action

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is required by CIA to mark declassified non-CIA material. This is an important issue particularly to the large centralized information repositories in CIA

- c. Declassification Orientation Programs--The requirement to provide initial orientation or periodic reorientation for CIA personnel to acquaint them with declassification requirements and responsibilities has had mixed implementation since June 1972. Evaluation of reports provided to the ICRC on these provisions indicates that while some training has taken place, it was given to a small percentage of Agency employees in CY 1974 and even fewer in CY 1975.

#### 3.2.4 No Implementation Action

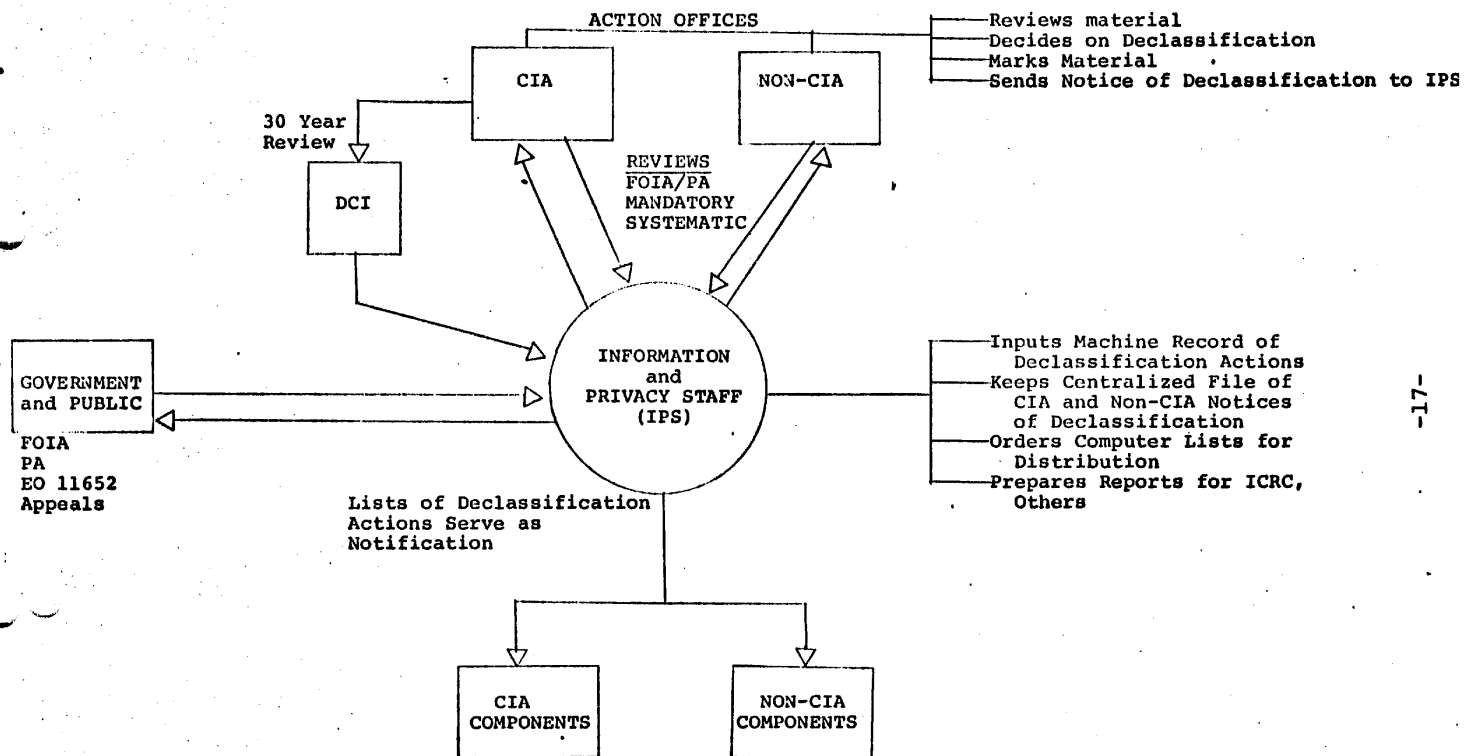
STAT The only EO 11652 declassification requirement for which no implementation action has been assigned in CIA  is the responsibility for notifying holders of material which has been declassified. Notification is an essential element in the entire declassification procedural process. Without notification, the EO 11652 requirement for marking declassified material cannot occur.

#### 4 PROPOSED DECLASSIFICATION SYSTEM

- 4.1 Consideration of a means to implement the notification requirement has led to the general outline of an automated system which could be used to facilitate access to information to meet a variety of EO 11652 declassification responsibilities. An automated system is proposed because an appropriately designed machine system can provide the flexibility of input and output which can assist CIA in meeting its declassification responsibilities efficiently and within reasonable or specified time frames.
- 4.2 The outline on the following page depicts the flow of work in the proposed automated declassification system. Consideration has been given to declassification

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PROPOSED DECLASSIFICATION SYSTEM





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as it relates to EO 11652, and the FOIA and Privacy Acts. The DDA Information and Privacy Staff (IPS) is the focal point on the outline because of its responsibility for CIA's centralized records on declassification, as well as for its FOIA and Privacy Act responsibilities. Implicit in the proposed automated system is the constant interaction of IPS with both CIA and non-CIA components in an effort to meet CIA's chartered declassification responsibilities.

#### 4.3 System Description

##### 4.3.1 Composition of the Automated Declassification Record

The proposed automated declassification record should consist of the following data:

<u>Data Field</u>	<u>Description</u>
1. Office(s)	Review or action office(s)
2. Authorizing Official(s)	Code to indicate the name or position of the person authorizing declassification
3. Document number	Identification of document or material
4. Title/Subject	Title or description of subject matter
5. Publication date	Date the material was originated
6. Old security classification	Security classification before review
7. New classification	Security classification after review
8. Declassification date	Date of declassification action
9. Type of review action	FOIA, 30-year, 10-year, etc.

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<u>Data Field</u>	<u>Description</u>
10. Old dissemination controls (if appropriate)	Dissemination controls before review
11. New dissemination controls (if appropriate)	Dissemination controls after review
12. Codeword control (if appropriate)	Alphabetical code to indicate codeword status of the material
13. Sanitization code (if appropriate)	Code to indicate whether material has been issued in sanitized version(s)
14. IPS case number (if appropriate)	The case number assigned to FOIA/Privacy Act requests by IPS
15. Requester name (FOIA and Privacy Act only)	Name of person requesting review action under the provisions of FOIA or the Privacy Act
16. Date of record input (automatically assigned by the computer)	

#### 4.3.2 Declassification Work Flow

4.3.2.1 Under the proposed system, the results of all declassification actions will be directed to IPS. For FOIA or Privacy Act requests, as presently occurs, IPS will determine the office(s) (action office(s)) to which the requests for review for declassification should be directed. The action offices review the requests for declassification and make determinations about continued classification, sanitization or declassification. When these actions occur, the action office will forward the material to IPS. IPS will also be the office to which declassification, downgrading or sanitization actions resulting from systematic or 30 year review are forwarded.

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- 4.3.2 A Notice of Declassification (NOD) will be the means by which the action offices will inform IPS about declassification decisions which they make. The NOD will be a standardized form which will at least include the data outlined in paragraph 4.3.1. The declassification information will be input to the automated system by IPS. For faster turnaround time, it is assumed that the input will be on-line, i.e., from a remote computer terminal. IPS will also keep the central file of NODs.
- 4.3.2.3 Among the advantages of the proposed automated system is its ability to provide machine printouts which can be distributed to original addressees of declassified material. The listings will provide a means for meeting the EO 11652 requirement for notification and can be used by holders of declassified material to comply with the marking requirements for declassified material.
- 4.3.2.4 Other advantages of an automated declassification system are:
- a. The ability to search for specific items of information, e.g., document number, declassifier, etc., which is not possible now because all declassified actions are filed by case number
  - b. The availability of information from which a variety of statistical reports on declassification can be generated, e.g., the number of declassification actions by date, by originating office, by publication date, by original classification, etc.
  - c. The capacity to generate separate lists of declassified, downgraded and sanitized material
- 4.4 Resource Requirements for an Automated Declassification System
- 4.4.1 Resource considerations for any automated system include the design of computer software to implement

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the system, the availability of computer hardware to support the system, and the personnel to manage, operate and use the system.

4.4.2 The simplicity of the proposed system should enable it to operate with existing CIA computer hardware. It is anticipated also that software design would require between 1000-3000 programming man-hours--one to three people working full time for six months; two to six people for three months. In addition, at least 20 man-hours per month would be required to maintain the computer programs after design and implementation. If computer input from a remote terminal is implemented, ten clerical man-hours per terminal would be required to input and validate approximately 300 records. This figure is based on CIA's current experience with on-line input systems.

4.4.3 The following table outlines a portion of the manpower and equipment resources which would be required to input declassification records into an automated system.

RESOURCE REQUIREMENTS

<u>Daily Record Volume</u>	<u>Clerical Man-hours</u>	<u>Remote Terminals</u>	<u>Terminal Space (Sq. Ft.)</u>
300	10	1	20
600	20	2	40
900	30	3	60
1200	40	4	80

4.4.4 Not addressed in this paper are a number of additional resource considerations which require further study. They include: training; site preparation for input devices; disc and magnetic tape storage; paper costs for computer output; computer use time (CPU time); and professional management and supervisory time inherent in such a system.

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5 CONCLUSIONS AND RECOMMENDATIONS

5.1 What can be generally concluded after review of the EO 11652 declassification requirements and the CIA implementation programs is that:

- a. In those instances when declassification guidance exists in CIA Regulations, it is unevenly implemented throughout the Agency
- b. One of the most significant declassification requirements (notification) has no CIA implementation program
- c. Little Agency-wide marking of declassified material occurs at the present time
- d. There has been no significant action taken in the area of systematic review of classified records for the purposes of declassification
- e. CIA employees as a whole are relatively unaware of their individual classification and declassification responsibilities because of infrequent orientation or retraining programs
- f. Little action has been taken to ensure adequate planning for the thirty year review of classified records which must take place for CIA beginning in 1977

These issues must be addressed more directly if CIA is to conform to the intent of the EO 11652 declassification requirements.

5.2 For CIA to fully implement the requirements of declassification the following action is recommended:

- a. That the Deputy Director for Administration (DDA) immediately implement a system for the notification of all CIA downgrading, declassification and sanitization actions whether they are made in response to a request for a review under EO 11652, FOIA or the Privacy Act

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- b. That the DDA study the feasibility of the proposed automated notification system
- c. That IPS/DDA be assigned the responsibility of maintaining a centralized file of all downgrading, declassification and sanitization actions
- d. That IPS/DDA supply lists of downgrading, declassification and sanitization actions to CIA and non-CIA components
- e. That material which is declassified, downgraded or sanitized be filed by the office of record
- f. That the DDA establish an active Agency-wide program for the training, orientation and reorientation of CIA employees on all aspects of declassification
- g. That the DDA amend  to include the requirement for notification and to provide more detailed guidance on the systematic and thirty year review provisions as well as the marking responsibility STAT
- h. That the DDA review and update the Headquarters Notices relating to compliance with EO 11652, FOIA, and the Privacy Acts

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